



Docket No.: 048897.0025

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

David T. ADAMS, et al.

Application No.: 09/787,294

Filed: March 15, 2001

Customer Number: 20277

Confirmation Number: 7577

Group Art Unit: 3693

Examiner: Weisberger, Richard C

For: TECHNIQUES FOR TRADING COMMODITIES ON A PRIVATE TRADING SYSTEM
AND NOT REGULATED BY THE GOVERNMENT

INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

In accordance with the provisions of 37 C.F.R. 1.56, 1.97 and 1.98, the attention of the Patent and Trademark Office is hereby directed to the documents listed on the attached form PTO-1449. It is respectfully requested that the documents be expressly considered during the prosecution of this application, and that the documents be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.

In accordance with 37 CFR 1.17(p), please charge the fee of \$180.00 to Deposit Account No. 500417.

10/19/2006 MBERHE 00000040 500417 09787294
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09/787,294

Each English language reference was cited in the corresponding PCT application search report or office action and its relevance discussed therein. A copy of the PCT search report or office action is attached for the Examiner's information.

Please charge any shortage in fees due in connection with the filing of this paper, including extension of time fees, to Deposit Account 500417 and please credit any excess fees to such deposit account.

Respectfully submitted,

McDERMOTT WILL & EMERY LLP

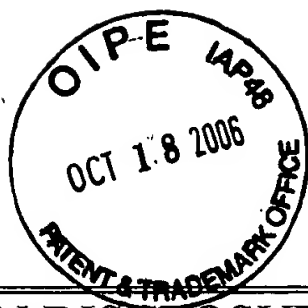


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**Please recognize our Customer No. 20277
as our correspondence address.**

SHEET 1 OF 1

INFORMATION DISCLOSURE CITATION IN AN APPLICATION (PTO-1449)				ATTY. DOCKET NO. 048897-0025		SERIAL NO. 09/787,294	
				APPLICANT David T. ADAMS, et al.			
				FILING DATE March 15, 2001		GROUP 3693	
U.S. PATENT DOCUMENTS							
EXAMINER'S INITIALS	CITE NO.	Document Number Number-Kind Code ² (if known)		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document		Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US	5,794,207 A	08/11/1998	Walker et al.		
		US	5,689,705 A	11/18/1997	Fino et al.		
		US	4,713,761 A	12/15/1987	Sharpe et al.		
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FOREIGN PATENT DOCUMENTS							
EXAMINER'S INITIALS	CITE NO.	Foreign Patent Document Country Codes -Number 4 -Kind Codes (if known)		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Figures Appear	Translation Yes No
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
EXAMINER'S INITIALS	CITE NO.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.					
		PCT Transmittal of International Preliminary Examination Report dated August 10, 2001, issued in International Appln. No. PCT/US99/21008					
EXAMINER				DATE CONSIDERED			

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered.

Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.